



EXPRESS MAIL NO. EV336595327US

PTO/SB/01A (08-03).

Approved for use through 10/31/2002. OMB 0651-0032.

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE.

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

<b>Title of Invention</b>	METHOD, APPARATUS AND ARTICLE FOR MICROFLUIDIC CONTROL VIA ELECTROWETTING, FOR CHEMICAL, BIOCHEMICAL AND BIOLOGICAL ASSAYS AND THE LIKE
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As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/688,835, filed on October 16, 2003,  
☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor one:	<u>James D. Sterling</u>	Citizen of:	<u>US</u>
Signature:	<u><i>James D. Sterling</i></u>	Date:	<u>3/3/04</u>
Inventor two:	<u>Chao-Yi Chen</u>	Citizen of:	<u>Taiwan</u>
Signature:	_____	Date:	_____
Inventor three:	<u>Ali Nadim</u>	Citizen of:	<u>US</u>
Signature:	<u><i>Ali Nadim</i></u>	Date:	<u>3/3/04</u>
Inventor four:	_____	Citizen of:	_____
Signature:	_____	Date:	_____

☐ Additional inventors or a legal representative are being named on \_\_\_\_\_ additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: P.O. Box 1450, Alexandria, VA 22313-1450.

Docket No. 530045.415C1

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PTO/SB/01A (08-03).

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**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)****Title of Invention**METHOD, APPARATUS AND ARTICLE FOR MICROFLUIDIC CONTROL  
VIA ELECTROWETTING, FOR CHEMICAL, BIOCHEMICAL AND  
BIOLOGICAL ASSAYS AND THE LIKE**RECEIVED**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

JUL 07 2004

- ☐ The attached application, or  
☒ Application No. 10/688,835, filed on October 16, 2003,  
☐ as amended on \_\_\_\_\_ (if applicable);

Seed Intellectual Property  
Law Group PLLC

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application.

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**Inventor one: James D. Sterling Citizen of: US

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor two: Chao-Yi Chen Citizen of: TaiwanSignature: Chao-Yi Chen Date: 2004-7-2Inventor three: Ali Nadim Citizen of: US

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Inventor four: \_\_\_\_\_ Citizen of: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

☐ Additional inventors or a legal representative are being named on \_\_\_\_\_ additional form(s) attached hereto.

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: P.O. Box 1450, Alexandria, VA 22313-1450.

Docket No. 530045.415C1

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EXPRESS MAIL NO. EV336595327US

PTO/SB/81 (06-03)

Approved for use through 11/30/2005. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**ELECTION AND POWER OF  
ATTORNEY and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

<b>Application Number</b>	10/688,835
<b>Filing Date</b>	October 16, 2003
<b>First Named Inventor</b>	James D. Sterling
<b>Title</b>	METHOD, APPARATUS AND ARTICLE FOR MICROFLUIDIC CONTROL VIA ELECTROWETTING, FOR CHEMICAL, BIOCHEMICAL AND BIOLOGICAL ASSAYS AND THE LIKE
<b>Art Unit</b>	1744
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	530045.415C1

I hereby appoint:

☒ Practitioners at Seed IP Law Group PLLC, Customer Number: **00500**

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ The address associated with Customer Number:

OR

<input type="checkbox"/> Firm or Individual Name					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

☒ As assignee of record of the entire interest I/we hereby elect, under 37 CFR 3.71, to prosecute the application to the exclusion of the inventor(s).**SIGNATURE of Applicant or Assignee of Record**

Name	David J. Galas
Signature	
Date	2/26/04

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/96 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: James D. Sterling et al.Application No./Patent No.: 10/688,835 Filed/Issue Date: October 16, 2003Entitled: METHOD, APPARATUS AND ARTICLE FOR MICROFLUIDIC CONTROL VIA  
ELECTROWETTING, FOR CHEMICAL, BIOCHEMICAL AND BIOLOGICAL  
ASSAYS AND THE LIKEKeck Graduate Institute

(Name of Assignee)

a

university(Type of Assignee, e.g., corporation, partnership,  
university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above.  
The assignment was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the  
current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title noted in B above are  
attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be  
submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records  
of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

2/26/04  
Date409 607-7487  
Telephone NumberDavid J. Galas

Typed or printed name

  
SignatureChancellor and Chief Scientific Officer

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

## ASSIGNMENT

WHEREAS, we, James D. Sterling, Chao-Yi Chen and Ali Nadim (hereinafter referred to as ASSIGNORS), having mailing addresses of 2521 Wildrose Lane, Upland, California 91784; 2F Wen-Te Road Neihu, Taipei, Taiwan; and 2725 Shakespeare Drive, San Marino, California 91108, respectively, are the joint inventors of an invention entitled "METHOD, APPARATUS AND ARTICLE FOR MICROFLUIDIC CONTROL VIA ELECTROWETTING, FOR CHEMICAL, BIOCHEMICAL AND BIOLOGICAL ASSAYS AND THE LIKE," as described and claimed in the specification for which an application for United States letters patent was filed on October 16, 2003, and assigned Application No. 10/688,835;

WHEREAS, Keck Graduate Institute (hereinafter referred to as ASSIGNEE), a university of the State of California having a place of business at 535 Watson Drive, Claremont, California 91711, is desirous of acquiring the entire right, title and interest in and to the invention and in and to any letters patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign and transfer unto said ASSIGNEE the entire right, title and interest in and to said invention, said application and any and all letters patent which may be granted for said invention in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from said United States application to which said foreign applications are entitled by virtue of international convention, treaty or otherwise, said invention, application and all letters patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNORS had this assignment, transfer and sale not been made. ASSIGNORS hereby authorize and request the Commissioner of Patents and Trademarks to issue all letters patent on said invention to ASSIGNEE. ASSIGNORS agree to execute all instruments and documents required for the making and prosecution of applications for United

States and foreign letters patent on said invention, for litigation regarding letters patent, or for the purpose of protecting title to said invention or letters patent therefor.

March 3, 2004  
 Date \_\_\_\_\_  
 State of California )  
 County of Los Angeles )  
 \_\_\_\_\_  
 James D. Sterling  
 SS.

I certify that I know or have satisfactory evidence that James D. Sterling is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated March 3, 2004  
 Signature of \_\_\_\_\_  
 Notary Public Linda Roberge  
 Printed Name Linda Roberge  
 My appointment expires August 15, 2006



\_\_\_\_\_  
 Date \_\_\_\_\_  
 State of \_\_\_\_\_ )  
 County of \_\_\_\_\_ )  
 \_\_\_\_\_  
 Chao-Yi Chen  
 SS.

I certify that I know or have satisfactory evidence that Chao-Yi Chen is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated \_\_\_\_\_  
 Signature of \_\_\_\_\_  
 Notary Public \_\_\_\_\_  
 Printed Name \_\_\_\_\_  
 My appointment expires \_\_\_\_\_

States and foreign letters patent on said invention, for litigation regarding letters patent, or for the purpose of protecting title to said invention or letters patent therefor.

\_\_\_\_\_  
Date James D. Sterling  
\_\_\_\_\_  
State of \_\_\_\_\_ )  
\_\_\_\_\_) ss.  
County of \_\_\_\_\_ )

I certify that I know or have satisfactory evidence that James D. Sterling is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated \_\_\_\_\_  
Signature of \_\_\_\_\_  
Notary Public \_\_\_\_\_  
Printed Name \_\_\_\_\_  
My appointment expires \_\_\_\_\_

2004-7-2  
Date Chao-Yi Chen  
Chao-Yi Chen  
State of Taiwan )  
\_\_\_\_\_) ss.  
County of Taiwan )

I certify that I know or have satisfactory evidence that Chao-Yi Chen is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated \_\_\_\_\_  
Signature of \_\_\_\_\_  
Notary Public \_\_\_\_\_  
Printed Name \_\_\_\_\_  
My appointment expires \_\_\_\_\_

March 3, 2004

Date

State of California )

County of Los Angeles )

Ali Nadim

Ali Nadim

ss.

I certify that I know or have satisfactory evidence that Ali Nadim is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated March 3, 2004

Signature of

Notary Public

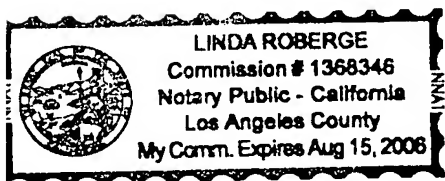
Linda Roberge

Printed Name

Linda Roberge

My appointment expires

August 15, 2004



(530045.415C1) 457170\_1